

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : Joseph G. GATTO CONFIRMATION No.: 7177
SERIAL NUMBER : 09/893,460 EXAMINER: Narayanswamy Subramanian
FILING DATE : June 29, 2001 ART UNIT: 3691
FOR : SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby makes of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated. Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not an issue.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be

prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Supplemental Information Disclosure Statement is being filed more than three months after the filing date of a national application other than a continued prosecution application under 37 C.F.R. §1.53(d), or more than three months after the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, and after the mailing date of the first Office Action on the merits, but before the mailing date of any of a Final Action under 37 C.F.R. §1.113, a Notice of Allowance under 37 C.F.R. §1.311, or an action that otherwise closes prosecution in the application. 37 C.F.R. §1.97(c).

Documents A-G were cited by the U.S. Patent Office in co-pending Application Serial No. 10/194,437, filed July 12, 2002, in an Office Action dated September 24, 2007. Documents H-L were cited by the U.S. Patent Office in co-pending Application Serial No. 10/194,940, filed July 12, 2002, in an Office Action dated November 6, 2007. I hereby certify that no item of information contained in this Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Supplemental Information Disclosure Statement was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Supplemental Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).

It is respectfully requested that the Examiner initial and return a copy of the enclosed
PTO-1449.

Respectfully submitted,

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Dated: December 26, 2007